

Docket No.: 4272.68-13

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jiang et al.

Art Unit: 2123

Serial No.: 10/733,178

Filed: December 10, 2003

For: METHOD AND SYSTEM FOR
ANALYZING DATA AND
CREATING PREDICTIVE MATERIALS

Certificate of Mailing under 37 CFR § 1.10

I hereby certify that this document and its attachments are being deposited with the United States Postal Service, First Class Mail, in an envelope addressed to Commissioner for Trademarks, P.O. Box 1450, Alexandria, Virginia 22313-1450, on 2-8-06

Cindy C. Dioso:

Cindy C. Dioso

**AFFIDAVIT IN SUPPORT OF PETITION STATING PERTINENT
FACTS FOR NONSIGNING INVENTOR UNDER 37 C.F.R. 1.47**

Mail Stop: Petitions

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

Dear Sir:

This affidavit is made as to the exact facts that are relied upon to establish the diligent effort made to secure the execution of the declaration by the non-signing inventors for the above-referenced patent application.

1. I, Diane Richardson, a citizen of the United States of America, am the Assistant Vice President of Stone Investments, Inc., the assignee of the application.
2. The last known address for each non-signing inventor is as follows (hereinafter the "Inventors"):

Andrew John Caffrey
3737 Promontory Street
San Diego, California 92109

Karen Christiana Joiner-Congleton
9415 Ovieda Street
San Diego, California 92129

Yong M. Kim
13565 Freeport Road
San Diego, California 92129


3. At the time the invention was made and filed, the inventors were employed by Stone Analytics, Inc. No signed declarations were executed and/or filed with the application.
4. On February 26, 2004, the subject patent application was assigned to Stone Investments, Inc. (hereinafter "Applicant")
5. On March 18, 2004, Applicant received a "Notice to File Missing Parts" indicating that the oath or declaration was missing. Subsequent to receiving the Notice, Applicant attempted to contact the Inventors.
6. On August 24, 2004, in response to receiving a Notice of Missing Parts from the United States Patent and Trademark Office, I mailed a copy of the declaration to each of the Inventors for signature and requested return of the signed declaration no later than September 15, 2004. Copies of the letters and the certified return receipt indicating receipt of such letters are attached hereto as Exhibit A. No response was received from Caffrey or Kim.
7. On September 14, 2004, Applicant received an e-mail from Congleton stating "[j]ust noticed that the patent stuff has a recommended return date of 9/15—oops! Looks like if it's the 14th now that I'm not going to get mine in on time. However, just means that I wasn't pay [sic] attention. Sorry." A copy of the September 14, 2005 e-mail is attached hereto as Exhibit B.
8. On October 4, 2005, I sent a reminder via e-mail to Congleton to return the signed documents to my attention. A copy of the September 14, 2005 e-mail is attached hereto as Exhibit C.
9. On October 21, 2004, I left a voice messages for each of the non-signing Inventors instructing each inventor to sign and return the declarations that were previously sent on August 24, 2004. No response was received from any of the Inventors.
10. On December 2, 2004, I sent a follow-up letter to the Inventors requesting each to sign and return the declaration for filing. In that letter I specifically stated that "[i]f we do not receive . . . these documents from you by January 1, 2005, we will assume that you are refusing to sign the documents" A copy of the December 2, 2004 letter along with the certified return receipts indicating receipt of such letters are attached hereto as Exhibit D. No response was received from any of the Inventors.
11. On January 18, 2005, Applicant sent another e-mail attempting to remind Congleton of the necessary signatures. A copy of the e-mail is attached hereto as Exhibit E. No response was received.

Docket No.: 4272.68-13

12. On January 20, 2005, I e-mailed a copy of the declaration to Congleton for her signature. Congleton responded on January 26, 2005 that she would be traveling and stated "[w]hen I get back I can deal with the e-versions." No response was ever received. A copy of the January 20, 2005 and January 26, 2005 e-mails are attached hereto as Exhibit F.
13. On May 12, 2005, I received an e-mail from Congleton requesting a hardcopy of the declaration. Accordingly, on May 13, 2005 I re-sent via certified mail a copy of the December 2, 2004 letter requesting signatures. The envelope letter was subsequently returned on June 3, 2005 as unclaimed. A copy of the May 12, 2005 e-mail and envelope postmarked May 13, 2005 are attached hereto as Exhibit G.
14. I hereby declare that after a diligent effort to obtain the all of the Inventors' signatures, the Inventors refuse to execute the declaration.
15. I hereby declare that I have first hand knowledge of the above pertinent facts.

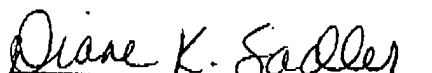
I hereby declare that all statements made herein are of my own knowledge and are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

IN WITNESS WHEREOF, I have hereunto set my hand and seal this 6th day of February, 2006.


Diane Richardson

STATE OF TEXAS §
 §
COUNTY OF DALLAS §

Before me, the undersigned Notary Public, personally appeared Diane Richardson known to me to be the person of the above name whose name is subscribed to the forgoing instrument, and acknowledged that he executed it for the purposes and consideration expressed therein.


Notary Public

(SEAL)

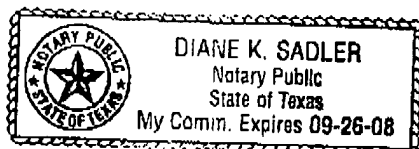
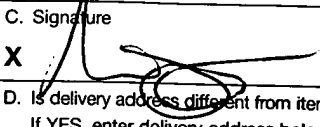
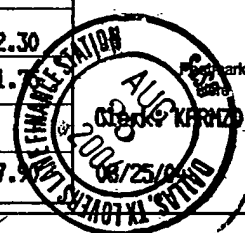


EXHIBIT A

SENDER: COMPLETE THIS SECTION		COMPLETE THIS SECTION ON DELIVERY	
<ul style="list-style-type: none"> Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired. Print your name and address on the reverse so that we can return the card to you. Attach this card to the back of the mailpiece, or on the front if space permits. 		A. Received by (Please Print Clearly) _____ B. Date of Delivery _____	
1. Article Addressed to: Andrew Caffrey 3737 Promontory Street San Diego, CA 92109		C. Signature X  <div style="float: right;"> <input type="checkbox"/> Agent <input type="checkbox"/> Addressee </div>	
2. Article Number (Copy from service label) 7001 0360 0003 6379 2250		D. Is delivery address different from item 1? <input type="checkbox"/> Yes If YES, enter delivery address below: <input type="checkbox"/> No	
		3. Service Type <input checked="" type="checkbox"/> Certified Mail <input type="checkbox"/> Express Mail <input type="checkbox"/> Registered <input type="checkbox"/> Return Receipt for Merchandise <input type="checkbox"/> Insured Mail <input type="checkbox"/> C.O.D.	
		4. Restricted Delivery? (Extra Fee) <input type="checkbox"/> Yes	

PS Form 3811, July 1999 Domestic Return Receipt 102595-00-M-0952

U.S. Postal Service CERTIFIED MAIL RECEIPT (Domestic Mail Only; No Insurance Coverage Provided)	
OFFICIAL USE SAN DIEGO, CA 92109	
Postage	\$ 3.85
Certified Fee	2.30
Return Receipt Fee (Endorsement Required)	1.70
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$ 7.85
UNIT ID: 0205 	
Sent To <u>Caffrey</u> Street, Apt. No.; or PO Box No. City, State, ZIP+4	
PS Form 3800, January 2001 See Reverse for Instructions	



S T O N E I N V E S T M E N T S , I N C .

Via Certified Mail – 7001-0360-0003-6379-2250

August 24, 2004

Mr. Andrew Caffrey
3737 Promontory Street
San Diego, CA 92109

Re: U.S. patent application no. 10/733,178 of Stone Analytics, Inc.
for “Method and System for Analyzing Data and Creating Predictive Models”

Dear Mr. Caffrey:

I am writing to you to on behalf of Stone Investments. Stone Investments recently acquired all the rights of Stone Analytics in the above-referenced patent application.

We believe that you are a co-inventor of the invention claimed in the application, and that you are, as a former employee of Stone Analytics, obligated to assign your interests in the invention. As the successor to Stone Analytics' interest in the application, we are requesting your cooperation and assistance in completing the patent application by signing next to your name and returning to us each of the following two documents:

- (1) a Declaration; and
- (2) an Agreement and Assignment.

Please execute the Agreement and Assignment before a notary public. The wording of the Declaration is prescribed by law and is required by the U.S. Patent and Trademark Office from all named inventors of a patent application. The Agreement and Assignment will be filed with the US Patent and Trademark Office to evidence the formal transfer of your interest in the patent application.

I am also enclosing for your reference a confidential copy of the non-provisional US patent application. If you believe that you are not, in fact, an inventor of the concepts claimed in the patent application, or if you believe that any of the other named inventors are not in fact co-inventors of any of the concepts claimed in the patent application, please contact me as soon as possible.

Enclosed is a self-addressed, stamped return envelop for your convenience. Please also feel free to fax (214.365.6910) or email a scanned copy of the documents to me at ggoltz@stoneholdings.com . If we do not receive both of these documents from you by September 15, 2004, we will assume that you are refusing to sign the documents.

8150 N. CENTRAL EXPRESSWAY

SUITE 1901

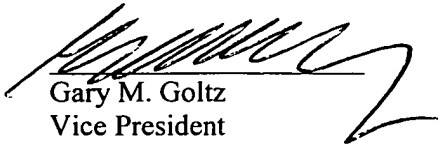
DALLAS, TEXAS 75206

(214) 365-1900

Mr. Andrew Caffrey
Page 2

I will be following up in the very near future. If you have any questions before then, please feel free to contact me at 214.365.1905.

Sincerely,



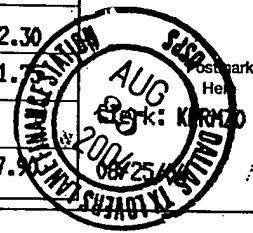
Gary M. Goltz
Vice President

U.S. Postal Service
CERTIFIED MAIL RECEIPT
 (Domestic Mail Only; No Insurance Coverage Provided)

OFFICIAL USE
 SAN DIEGO, CA 92129

7001 0360 0003 6379 2243

Postage	\$ 3.85	UNIT ID: 0205
Certified Fee	2.30	
Return Receipt Fee (Endorsement Required)	1.75	
Restricted Delivery Fee (Endorsement Required)		
Total Postage & Fees	\$ 7.90	



Sent To CTC

Street, Apt. No.;
or PO Box No.

City, State, ZIP+ 4

PS Form 3800, January 2001 See Reverse for Instructions

SENDER: COMPLETE THIS SECTION		COMPLETE THIS SECTION ON DELIVERY	
<ul style="list-style-type: none"> Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired. Print your name and address on the reverse so that we can return the card to you. Attach this card to the back of the mailpiece, or on the front if space permits. 		<p>A. Received by (Please Print Clearly) <u>Karen Congleton</u> B. Date of Delivery</p> <p>C. Signature <u>[Signature]</u> <input type="checkbox"/> Agent <input type="checkbox"/> Addressee</p> <p>D. Is delivery address different from item 1? <input type="checkbox"/> Yes <input type="checkbox"/> No If YES, enter delivery address below</p>	
<p>1. Article Addressed to:</p> <p>Christy Joiner-Congleton 9415 Oviedo Street San Diego, CA 92129</p>		<p>3. Service Type</p> <p><input checked="" type="checkbox"/> Certified Mail <input type="checkbox"/> Express Mail</p> <p><input type="checkbox"/> Registered <input type="checkbox"/> Return Receipt for Merchandise</p> <p><input type="checkbox"/> Insured Mail <input type="checkbox"/> C.O.D.</p>	
<p>2. Article Number (Copy from service label)</p> <p>7001 0360 0003 6379 2243</p>		<p>4. Restricted Delivery? (Extra Fee) <input type="checkbox"/> Yes</p>	





STONE INVESTMENTS, INC.

Via Certified Mail – 7001-0360-0003-6379-2243

August 24, 2004

Ms. Christy Joiner-Congleton
9415 Oviedo Street
San Diego, CA 92129

Re: U.S. patent application no. 10/733,178 of Stone Analytics, Inc.
for “Method and System for Analyzing Data and Creating Predictive Models”

Dear Christy:

I am writing to you to on behalf of Stone Investments. Stone Investments recently acquired all the rights of Stone Analytics in the above-referenced patent application.

We believe that you are a co-inventor of the invention claimed in the application, and that you are, as a former employee of Stone Analytics, obligated to assign your interests in the invention. As the successor to Stone Analytics’ interest in the application, we are requesting your cooperation and assistance in completing the patent application by signing next to your name and returning to us each of the following two documents:

- (1) a Declaration; and
- (2) an Agreement and Assignment.

Please execute the Agreement and Assignment before a notary public. The wording of the Declaration is prescribed by law and is required by the U.S. Patent and Trademark Office from all named inventors of a patent application. The Agreement and Assignment will be filed with the US Patent and Trademark Office to evidence the formal transfer of your interest in the patent application.

I am also enclosing for your reference a confidential copy of the non-provisional US patent application. If you believe that you are not, in fact, an inventor of the concepts claimed in the patent application, or if you believe that any of the other named inventors are not in fact co-inventors of any of the concepts claimed in the patent application, please contact me as soon as possible.

Enclosed is a self-addressed, stamped return envelop for your convenience. Please also feel free to fax (214.365.6910) or email a scanned copy of the documents to me at ggoltz@stoneholdings.com . If we do not receive both of these documents from you by September 15, 2004, we will assume that you are refusing to sign the documents.

8150 N. CENTRAL EXPRESSWAY

SUITE 1901

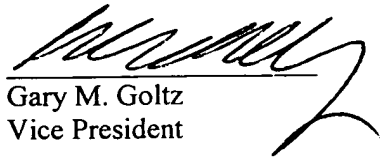
DALLAS, TEXAS 75206

(214) 365-1900

Ms. Christy Joiner-Congleton
Page 2

I will be following up in the very near future. If you have any questions before then, please feel free to contact me at 214.365.1905.

Sincerely,



Gary M. Goltz
Vice President

SENDER: COMPLETE THIS SECTION		COMPLETE THIS SECTION ON DELIVERY	
<ul style="list-style-type: none"> Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired. Print your name and address on the reverse so that we can return the card to you. Attach this card to the back of the mailpiece, or on the front if space permits. 		A. Received by (Please Print Clearly) _____ B. Date of Delivery <u>9/22/99</u>	
1. Article Addressed to: Yong Kim 13565 Freeport Road San Diego, CA 92129		C. Signature <u>[Signature]</u> <input checked="" type="checkbox"/> Agent <input type="checkbox"/> Addressee	
2. Article Number (Copy from service label) 7001 0360 0003 6379 2274		D. Is delivery address different from item 1? <input type="checkbox"/> Yes If YES, enter delivery address below: <input type="checkbox"/> No	
3. Service Type <input checked="" type="checkbox"/> Certified Mail <input type="checkbox"/> Express Mail <input type="checkbox"/> Registered <input type="checkbox"/> Return Receipt for Merchandise <input type="checkbox"/> Insured Mail <input type="checkbox"/> C.O.D.		4. Restricted Delivery? (Extra Fee) <input type="checkbox"/> Yes	
PS Form 3811, July 1999		Domestic Return Receipt 102595-00-M-0952	

U.S. Postal Service CERTIFIED MAIL RECEIPT (Domestic Mail Only; No Insurance Coverage Provided)	
OFFICIAL USE SAN DIEGO, CA 92129	
Postage	\$ 5.05
Certified Fee	2.30
Return Receipt Fee (Endorsement Required)	1.75
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$ 9.10
Sent To <u>Yong Kim</u> Street, Apt. No., or PO Box No. _____ City, State, ZIP+4 _____	
PS Form 3800, January 2001 See Reverse for Instructions	



STONE INVESTMENTS, INC.

Via Certified Mail – 7001-0360-0003-6379-2274

August 24, 2004

Mr. Yong Kim
13565 Freeport Road
San Diego, CA 92129

Re: U.S. patent application no. 10/733,178 of Stone Analytics, Inc.
for “Method and System for Analyzing Data and Creating Predictive Models”

Dear Mr. Kim:

I am writing to you on behalf of Stone Investments. Stone Investments recently acquired all the rights of Stone Analytics in the above-referenced patent application.

We believe that you are a co-inventor of the invention. Under the Consulting Agreement between Stone Analytics and yourself, you agreed that all Creations (as that term is defined in the Consulting Agreement) are the sole property of Stone Analytics and that you have assigned your interest in the invention to Stone Analytics and agreed to assist Stone Analytics in filing patent applications on the invention.

As the successor to Stone Analytics' interest in the application, we are requesting your cooperation and assistance in completing it by executing next to your name and returning to us each of the following two documents:

- (1) a Declaration; and
- (2) an Agreement and Assignment.

Please execute the Agreement and Assignment before a notary public. The wording of the Declaration is prescribed by law and is required by the U.S. Patent and Trademark Office from all named inventors of a patent application. The Agreement and Assignment confirms the assignment of your interest in the patent application. It will be filed with the US Patent and Trademark Office to evidence the formal transfer of your interest in the patent application.

I am also enclosing for your reference a confidential copy of the non-provisional US patent application. If you believe that you are not, in fact, an inventor of the concepts claimed in the patent application, or if you believe that any of the other named inventors are not in fact co-inventors of any of the concepts claimed in the patent application, please contact me as soon as possible.

Enclosed is a self-addressed, stamped return envelop for your convenience. Please also feel free to fax (214.365.6910) or email a scanned copy of the documents to me at ggoltz@stoneholdings.com. If we do not receive both of these documents from you by September 15, 2004, we will assume that you are refusing to sign the documents.

8150 N. CENTRAL EXPRESSWAY

SUITE 1901

DALLAS, TEXAS 75206

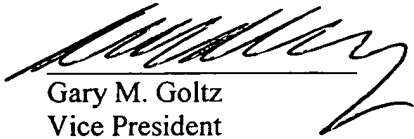
(214) 365-1900

10/15/04 10:15 AM 970818_1 1072.00

Mr. Yong Kim
Page 2

I will be following up in the very near future. If you have any questions before then, please feel free to contact me at 214.365.1905.

Sincerely,



Gary M. Goltz
Vice President

EXHIBIT B

-----Original Message-----

From: Christy Joiner-Congleton [mailto:cjc@stics.com]

Sent: Tuesday, September 14, 2004 4:07 PM

To: Goltz, Gary

Subject: patent stuff

Hi, Gary,

Just noticed that the patent stuff has a recommended return date of 9/15--oops!
Looks like if it's the 14th now that I'm not going to get mine in on time.
However, just means that I wasn't pay attention. Sorry.

Christy

Phone: 858-874-0311 X203

Fax: 858-874-0312

Home: 858-538-5512

HomeFax:858-484-7253

Cell: 619-743-3665

This email has been scanned by the MessageLabs Email Security System.
For more information please visit <http://www.messagelabs.com/email>

EXHIBIT C

Richardson, Diane

From: Richardson, Diane
Sent: Tuesday, October 04, 2005 10:43 AM
To: 'cjc@stics.com'
Subject: Stone Patent Agreements
Attachments: CJC Assignment.DOC; Declaration.DOC

Hi Christie –

This is to remind you that we still need these patent agreements signed. Gail said that you were willing to help us once the source code issue got resolved, which I gather has been accomplished.

Please return the signed documents to me at:

Stone Holdings
8150 N. Central Expressway
Suite 1901
Dallas, Texas 75206

Thank you – we appreciate your help!

*Diane Richardson
Assistant Vice President
Stone Holdings, Inc.
214-365-1988 phone
214-365-6910 fax*

10/4/2005

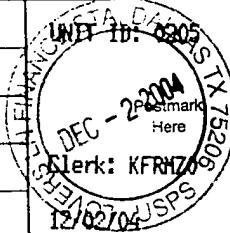
EXHIBIT D

U.S. Postal Service
CERTIFIED MAIL RECEIPT
 (Domestic Mail Only; No Insurance Coverage Provided)

2335
6292
E000
0960
T002

SAN DIEGO, CA 92129

Postage	\$ 0.83
Certified Fee	2.30
Return Receipt Fee (Endorsement Required)	1.75
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$ 4.88



Sent To CTC

Street, Apt. No.;
or PO Box No.

City, State, ZIP+ 4

PS Form 3800, January 2001 See Reverse for Instructions

SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

Christy Joiner=Congleton
9415 Oviedo Street
San Diego, CA 92129

COMPLETE THIS SECTION ON DELIVERY

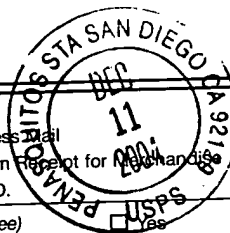
A. Received by (Please Print Clearly) Karen C. Joiner-Congleton B. Date of Delivery 12-11-04

C. Signature [Signature] ☐ Agent ☒ Addressee

D. Is delivery address different from item 1? ☐ Yes ☒ No
 If YES, enter delivery address below:

3. Service Type
☒ Certified Mail ☐ Express Mail
☐ Registered ☐ Return Receipt for Merchandise
☐ Insured Mail ☐ C.O.D.

4. Restricted Delivery? (Extra Fee) ☐ Yes ☒ No



2. Article Number (Copy from service label) **70010360000363792335**



Via Certified Mail – 7001-0360-0003-6379-2335

December 2, 2004

Ms. Christy Joiner-Congleton
9415 Oviedo Street
San Diego, CA 92129

Re: U.S. patent application no. 10/733,178 of Stone Analytics, Inc.
for "Method and System for Analyzing Data and Creating Predictive Models"

Dear Christy:

This letter is a follow-up to the letter we sent to you dated August 24, 2004 as well as the voice mail message I left for you in October. In the August 24, 2004 letter, we requested that you, as a co-inventor of the above-referenced patent on behalf of Stone Analytics, Inc., assign your interests in the invention to Stone. I have enclosed additional copies of the two agreements. We respectfully request that you sign these two documents as soon as possible.

Enclosed is a self-addressed, stamped return envelop for your convenience. Please also feel free to fax (214.365.6910) or email a scanned copy of the documents to me at drichardson@stoneinvestments.com.

If we do not receive both of these documents from you by January 1, 2005, we will assume that you are refusing to sign the documents and we will file the appropriate documents with the US Patent and Trademark Office.

Sincerely,

Diane Richardson
Assistant Corporate Secretary

8150 N. CENTRAL EXPRESSWAY

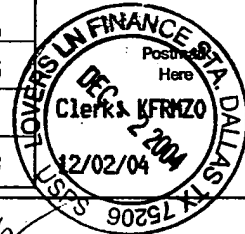
SUITE 1901

DALLAS, TEXAS 75206

(214) 365-6910 970818_1 4272.68

SENDER: COMPLETE THIS SECTION		COMPLETE THIS SECTION ON DELIVERY	
<ul style="list-style-type: none"> Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired. Print your name and address on the reverse so that we can return the card to you. Attach this card to the back of the mailpiece, or on the front if space permits. 		A. Received by (Please Print Clearly) Bunney Caffrey B. Date of Delivery 12.15.04	
1. Article Addressed to: Andrew Caffrey 3737 Promontory Street San Diego, CA 92109		C. Signature X Bunney P. Caffrey <input type="checkbox"/> Agent <input checked="" type="checkbox"/> Addressee D. Is delivery address different from item 1? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If YES, enter delivery address below:	
2. Article Number (Copy from service label) 70010360000363792311		3. Service Type <input checked="" type="checkbox"/> Certified Mail <input type="checkbox"/> Express Mail <input type="checkbox"/> Registered <input type="checkbox"/> Return Receipt for Merchandise <input type="checkbox"/> Insured Mail <input type="checkbox"/> C.O.D. 4. Restricted Delivery? (Extra Fee) <input type="checkbox"/> Yes	

PS Form 3811, July 1999 Domestic Return Receipt 102595-00-M-0952

U.S. Postal Service CERTIFIED MAIL RECEIPT (Domestic Mail Only; No Insurance Coverage Provided)		
OFFICIAL USE SAN DIEGO, CA 92109		
Postage	\$ 0.83	UNIT ID: 0205 
Certified Fee	2.30	
Return Receipt Fee (Endorsement Required)	1.75	
Restricted Delivery Fee (Endorsement Required)		
Total Postage & Fees	\$ 4.88	
Sent To Caffrey Street, Apt. No., or PO Box No. City, State, ZIP+ 4		
PS Form 3800, January 2001 See Reverse for Instructions		

7001 0360 0003 6379 2311

Via Certified Mail – 7001-0360-0003-6379-2311

December 2, 2004

Mr. Andrew Caffrey
3737 Promontory Street
San Diego, CA 92109

Re: U.S. patent application no. 10/733,178 of Stone Analytics, Inc.
for “Method and System for Analyzing Data and Creating Predictive Models”

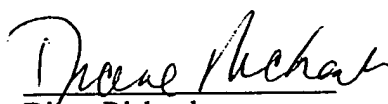
Dear Mr. Caffrey:

This letter is a follow-up to the letter we sent to you dated August 24, 2004 as well as the voice mail message I left for you in October. In the August 24, 2004 letter, we requested that you, as a co-inventor of the above-referenced patent on behalf of Stone Analytics, Inc., assign your interests in the invention to Stone. I have enclosed additional copies of the two agreements. We respectfully request that you sign these two documents as soon as possible.

Enclosed is a self-addressed, stamped return envelop for your convenience. Please also feel free to fax (214.365.6910) or email a scanned copy of the documents to me at drichardson@stoneinvestments.com.

If we do not receive both of these documents from you by January 1, 2005, we will assume that you are refusing to sign the documents and we will file the appropriate documents with the US Patent and Trademark Office.

Sincerely,


Diane Richardson
Assistant Corporate Secretary

8150 N. CENTRAL EXPRESSWAY

SUITE 1901

DALLAS, TEXAS 75206

DALLAS 970818_1 4272.68
(214) 365-1909

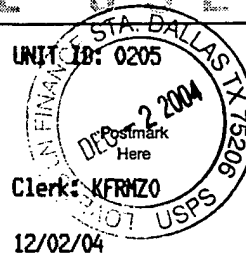
U.S. Postal Service
CERTIFIED MAIL RECEIPT
 (Domestic Mail Only; No Insurance Coverage Provided)

7001 0360 0000 6379 2304

OFFICIAL USE

SAN DIEGO, CA 92129

Postage	\$ 0.83
Certified Fee	2.30
Return Receipt Fee (Endorsement Required)	1.75
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	\$ 4.88



Sent To Kim

Street, Apt. No.;
or PO Box No.

City, State, ZIP+ 4

PS Form 3800, January 2001

See Reverse for Instructions

SENDER: COMPLETE THIS SECTION

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

Yong Kim
13565 Freeport Drive
San Diego, CA 92129

2. Article Number (Copy from service label)

70010360000363792304

PS Form 3811, July 1999

Domestic Return Receipt

109-55-00-M-0952

COMPLETE THIS SECTION ON DELIVERY

A. Received by (Please Print Clearly) **B. Date of Delivery**

S. M. H. 12/6/04

C. Signature

X

- ☐ Agent
☐ Addressee

D. Is delivery address different from item 1?

If YES, enter delivery address below:

- ☐ Yes
☐ No

3. Service Type

- ☒ Certified Mail ☐ Express Mail
☐ Registered ☐ Return Receipt for Merchandise
☐ Insured Mail ☐ C.O.D.

4. Restricted Delivery? (Extra Fee)

- ☐ Yes



Via Certified Mail – 7001-0360-0003-6379-2304

December 2, 2004

Mr. Yong Kim
13565 Freeport Road
San Diego, CA 92129

Re: U.S. patent application no. 10/733,178 of Stone Analytics, Inc.
for “Method and System for Analyzing Data and Creating Predictive Models”

Dear Mr. Kim:

This letter is a follow-up to the letter we sent to you dated August 24, 2004 as well as the voice mail message I left for you in October. In the August 24, 2004 letter, we requested that you, as a co-inventor of the above-referenced patent on behalf of Stone Analytics, Inc., assign your interests in the invention to Stone. I have enclosed additional copies of the two agreements. We respectfully request that you sign these two documents as soon as possible.

Enclosed is a self-addressed, stamped return envelop for your convenience. Please also feel free to fax (214.365.6910) or email a scanned copy of the documents to me at drichardson@stoneinvestments.com.

If we do not receive both of these documents from you by January 1, 2005, we will assume that you are refusing to sign the documents and we will file the appropriate documents with the US Patent and Trademark Office.

Sincerely,


Diane Richardson
Assistant Corporate Secretary

8150 N. CENTRAL EXPRESSWAY

SUITE 1901

DALLAS, TEXAS 75206

(214) 365-6910 FAX 970818_1 4272.68

EXHIBIT E

Richardson, Diane

From: Lehmann, Gail
Sent: Tuesday, January 18, 2005 3:45 PM
To: Richardson, Diane
Subject: FW: Diane Richardson

This is what I sent her; let's see.....

-----Original Message-----

From: Lehmann, Gail
Sent: Tuesday, January 18, 2005 3:44 PM
To: 'cjc@stics.com'
Subject: Diane Richardson

CJC - Diane says she has tried to repeatedly contact you regarding the patent assignment? She is working on cleaning this up - the assignment should have been done simultaneously with the filing by SAI attorneys back when they filed in December 2003 but apparently that didn't get done. Have you not gotten any communication? Can I facilitate this in someway? Or do you have an issue?

Let me hear.

G

EXHIBIT F

Richardson, Diane

From: Christy Joiner-Congleton [cjc@stics.com]
Sent: Wednesday, January 26, 2005 8:17 PM
To: Richardson, Diane
Subject: RE: Stone Analytics Documents

Hi Diane,

Thanks for e versions. Wish you, Terri, and I could go out and raise a glass! Could use one.

I am drowning in models to build and client issues to navigate and software issues that need fixing. There's no time to think. We have a next delivery at the end of the week that will bleed into next and a permit to file that trump everything including sleep right now. I travel to the client next week. When I get back I can deal with the e versions.

You know, you're the legal memory/doc guru, maybe you have something I should have. I don't have copies of whatever the docs were that I was made to sign last year. I think I had a hard copy of some of them at some point, but those were apparently shredded or vanished in the great melt down. There were two sets presented with the edict "sign or I'll get Harry to make you sign", but there was barely time to read them and no opportunity to get legal review before signing.

How's life? Pass on my hello to Terri and the other Diane, okay. Much to tell and much to hear too, I'm sure. I'll holler to you when I am next through Dallas and maybe we can do that drink, maybe grab Jay and the other Diane, too.

Tx,
Christy

-----Original Message-----

From: Richardson, Diane [mailto:drichardson@stoneinvestments.com]
Sent: Thursday, January 20, 2005 12:00 PM
To: CJC@STICS.COM
Subject: Stone Analytics Documents

Hi Christy! I hope all is well. Here are the two agreements we need back. Please let me know if any problems.

Thanks, Diane

This email has been scanned by the MessageLabs Email Security System.
For more information please visit <http://www.messagelabs.com/email>

This email has been scanned by the MessageLabs Email Security System.
For more information please visit <http://www.messagelabs.com/email>

EXHIBIT G

an addition:
-ressee's authentic
ement. The
Mark
Richardson, Diane

From: Christy Joiner-Congleton [cjc@stics.com]
Sent: Thursday, May 12, 2005 6:25 PM
To: Richardson, Diane
Subject: docs

Hi Diane,

You're going to think I'm an idiot, but, can you send me the stuff in hardcopy that you wanted me to sign? I hate to say that I am completely messed up electronically.

I think the last thing that happened was that you sent me a version electronically and I was going to get it over to my guy to read and then sign. Well, it never got out of my in-basket....

Let's try again,
Tx,
Christy

Phone: 858-874-0311 X203
Fax: 858-874-0312
Home: 858-538-5512
HomeFax: 858-484-7253
Cell: 619-743-3665

This email has been scanned by the MessageLabs Email Security System.
For more information please visit <http://www.messagelabs.com/email>



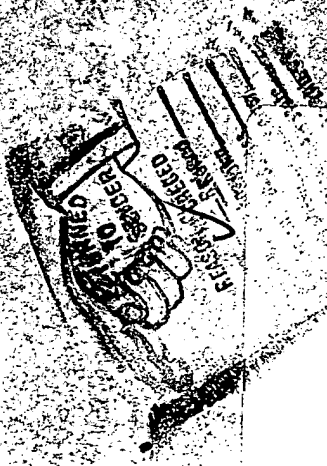
7001 0360 0003 6378 9991



STONE SUPPORT SERVICES, INC.

8150 N. CENTRAL EXPRESSWAY SUITE 1901, DALLAS, TEXAS 75206

~~Christy Jdine - Congleton~~
~~9415 Oviedo Street~~
~~San Diego CA 92129~~



1st NOTICE
2nd NOTICE

16-20

129
4011904.880 MAY 13 05
4918 MAILED FROM ZIP CODE 75206